TRENDS AND DEVELOPMENTS IN
INFORMATION GOVERNANCE
AND RECORDS MANAGEMENT

William Saffady
(718) 246-4696
wsaffady@aol.com

Key Concepts Defined

• Governance – the process or system by which an organization’s activities are directed and controlled
• Governance framework – the strategies, policies, decision-making structures and accountabilities through which an organization’s governance arrangements operate
• Information governance—a process or system for directing and controlling an organization’s information assets, a component or subset of organizational governance
• Information governance model—a framework of strategies, policies, decision-making structures, and accountabilities for directing and controlling information assets

Key Concepts Defined

• Stakeholder—a business unit or functional area that is involved with or affected by an organization’s information assets
• IT governance — a process or system for directing and controlling an organization’s Information technology assets
• Data governance—a process or system for directing and controlling an organization’s data assets, including issues related to data quality and usability
• Master data governance – a process or system for consolidating an organization’s data assets
Governance vs. Management

- Governance provides a strategic and policy framework that defines accountability and responsibility
- Management focuses on the day-to-day execution of specific business operations or activities
- Management occurs within context of strategies and policies defined by the governance framework

IG Program Characteristics

- Enterprise scope – a common vision for an organization’s information assets
- Completeness – addresses all aspects related to control of information assets
- Inclusiveness – multidisciplinary approach emphasizes participation of all stakeholders, but participation varies depending on nature of stakeholder activities
- Specialization – stakeholder roles and responsibilities clearly defined with minimal overlap to avoid competition and duplication of effort
- Collaboration – avoid silo approach by promoting interaction, cooperation, and consultation among stakeholders
- Practicality – must be workable without significant organizational disruption and within limitations imposed by existing resources and stakeholder expertise
The Stakeholders

- Records Management
- Information Technology
- Legal
- Security, including Information Security
- Risk Management
- Compliance
- Business Units
- Archival Administration

Roles and Responsibilities

- Records Management – develops and communicates policies, procedures, and guidelines for cost-effective lifecycle management of information assets
- Information Technology – creates and operates the technological infrastructure for processing, storage, retrieval, and distribution of information assets; optimizes technological resources for cost-effective management of information assets; provides backup protection and disaster recovery capability for information assets

Roles and Responsibilities

- Legal – Establishes and communicates policies related to legal proceedings that involve information assets, ensures that information assets are preserved, available, and accessible for legal discovery, provides opinions and advice to other stakeholders about legal issues related to information assets
- Security – develops and communicates policies related to confidentiality, data protection, and disclosure of information assets; monitors and evaluates situations or events that threaten information assets; responds to security breaches that involve information assets
Roles and Responsibilities

- Risk Management – Identifies, analyzes, and quantifies risks related to information assets; develops and communicates policies to mitigate the adverse impact of specific information-related practices
- Compliance – Ensures that practices related to information assets comply with organizational policies and with external requirements, including laws, regulations, and industry-specific guidelines; audits and investigates organizational practices and presents findings with recommendations for corrective action

Roles and Responsibilities

- Business Units – Responsible for implementing policies and procedures for information assets in their custody or under their supervisory control
- Archival Administration – Responsible for preservation and long-term usability of information assets

RACI Chart for IG

<table>
<thead>
<tr>
<th>Activities</th>
<th>Business Units</th>
<th>Development</th>
<th>Information Technology</th>
<th>Legal</th>
<th>Information Security</th>
<th>Compliance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Records Management, policies, and procedures for lifecycle management of information assets</td>
<td>D</td>
<td>R</td>
<td>C</td>
<td>A</td>
<td>C</td>
<td>A</td>
</tr>
<tr>
<td>Technical infrastructure for information assets</td>
<td>D</td>
<td>R</td>
<td>C</td>
<td>C</td>
<td>A</td>
<td>A</td>
</tr>
<tr>
<td>Protection and disaster recovery for information assets</td>
<td>D</td>
<td>R</td>
<td>C</td>
<td>C</td>
<td>A</td>
<td>A</td>
</tr>
<tr>
<td>Information assets are preserved, available, and accessible for legal discovery</td>
<td>D</td>
<td>R</td>
<td>C</td>
<td>C</td>
<td>A</td>
<td>A</td>
</tr>
<tr>
<td>Confidentiality, data protection, and disclosure of information assets with laws, regulations, and internal policies</td>
<td>D</td>
<td>R</td>
<td>C</td>
<td>C</td>
<td>A</td>
<td>A</td>
</tr>
<tr>
<td>Implementation policies and procedures for information assets</td>
<td>D</td>
<td>R</td>
<td>C</td>
<td>C</td>
<td>A</td>
<td>A</td>
</tr>
</tbody>
</table>
SELLING POINTS

• Organizations use contractors to complement or supplement their internal capabilities
• Few organizations have all internal capabilities required for effective information governance
• Commercial storage providers can be an important resource for information governance initiatives
• Cost-effective record storage remains important but information governance is concerned with issues that are beyond the scope of traditional records management

SELLING POINTS

• Commercial storage providers should emphasize services that address stakeholder roles and responsibilities
  – Assured compliance with legally-mandated retention requirements
  – Assured preservation and responsive availability of information needed for legal proceedings
  – Secure storage to prevent unauthorized access to PII, PHI, PCI
  – Secure, defensible destruction of obsolete information assets
  – Backup protection and disaster recovery for electronic records
  – Cloud-based storage and services to supplement internal IT resources

SELLING POINTS

• Information governance broadens the range of issues that commercial storage services can address
• Stakeholders have greater budgetary resources than records management unit
• Compared to other expenditures, commercial storage charges seem reasonable, especially on a unit-cost basis
• But . . .
<table>
<thead>
<tr>
<th>THE DOWNSIDE</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Increased emphasis on digital information resources marginalizes paper recordkeeping in the minds of some stakeholders</td>
</tr>
<tr>
<td>• Cost-effective storage of paper records is no longer viewed as the solution to an important problem</td>
</tr>
<tr>
<td>• Paper records in commercial storage viewed as a legacy accumulation to be phased out</td>
</tr>
<tr>
<td>• Some IG stakeholders believe this can be easily accomplished</td>
</tr>
</tbody>
</table>